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Docket No.

N24-004

Applicant(s): James P. O'Shaughnessy et al

Serial No.
09/623,330

Filing Date
July 24, 2000

Examiner
NA

Group Art Unit
2761

INVENTION
PATENT & TRADEMARK OFFICE
APR 23 2001
SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER INFORMATION NETWORK

RECEIVED

APR 26 2001

Technology Center 2100

I hereby certify that this Transmittal of IDS, 2 sheets; Citation list, 1 sheet; 6 US Patent references; See below
(Identify type of correspondence)

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Gerry J. Elman

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(Signature of Person Mailing Correspondence)

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
N24-004

In Re Application Of: O'Shaughnessy et al

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37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Docket No.

N24-004

APR 23 2001

(Under 37 CFR 1.97(b) or 1.97(c))

Re Application Of: O'Shaughnessy et al

Serial No.

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Filing Date

July 24, 2000

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NA

Group Art Unit

2761

Title:

SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 05-0845 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

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Signature of Person Mailing Correspondence

Gerry J. Elman

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. Patent Application No.: **09/624,330**

Applicant(s): **O'Shaughnessy et al**

Title: **SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER NETWORK**

Filed: **July 24, 2000**

Art Unit: **2761**

Atty Docket No. **N24-004**

Assistant Commissioner for Patents

Washington D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 CFR § 1.56, applicant(s) submit herewith the identification of patents, publications or other of which they are aware, which they believe may be material to patentability information and in respect of which there may be a duty to disclose.

Applicant(s) respectfully requests that the information enclosed herein be considered by the examiner in the above captioned application and be made of record therein.

The information enclosed herewith is submitted in accordance with **37 CFR § 1.97(b)**, and no fee is required for consideration of the information disclosure statement. However, any fee deficiency may be charged to deposit account **05-0845**.

The patents and publications submitted herewith have been cited in the International Search Report dated November 3, 2000, for PCT/US00/20376.

A list of the patent(s) and/or publication(s) is set forth on the attached Form PTO-1449. A copy of each reference cited is enclosed herewith.

Inclusion of a reference in this Information Disclosure Statement is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such, nor that any cited reference discloses anything other than what is shown and stated therein.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists.

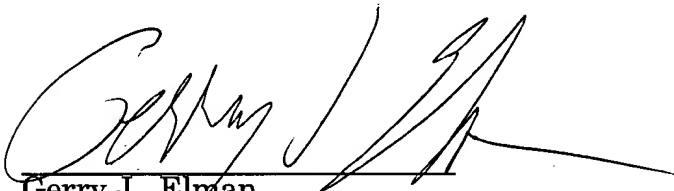
In accordance with 37 CFR § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b).

This statement is made by the attorney who signs below on the basis of the information supplied by the inventors and the information in the attorney's file.

ACCOMPANYING THIS STATEMENT ARE:

- * Form PTO-1449 comprising 1 page(s);
- * a copy of six (6) reference(s) cited on Form PTO-1449;
- * a postage-paid return postal card.

Respectfully submitted,



Gerry J. Elman
Attorney of Record
Registration No. 24,404
ELMAN & ASSOCIATES
Customer No. 003775

Date 4/20/01